SECTION 3: ARCHAEOLOGICAL RESOURCES

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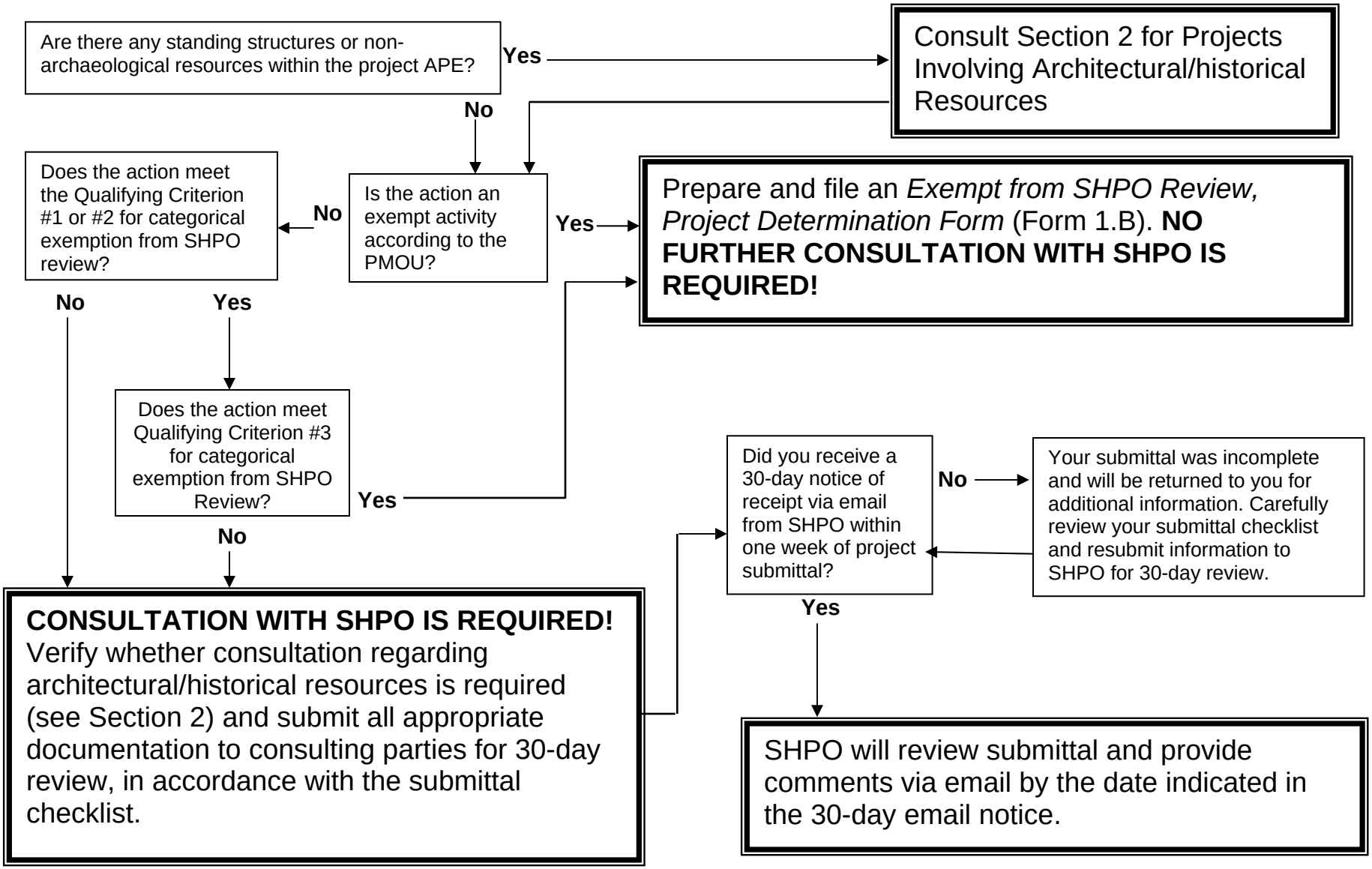
FLOW CHART FOR ACTIVITIES INVOLVING EARTHMOVING


Are there any standing structures or non-archaeological resources within the project APE?
Yes
Consult Section 2 for Projects Involving Architectural/historical Resources
No
Is the action an exempt activity according to the PMOU?
No
Does the action meet the Qualifying Criterion #1 or #2 for categorical exemption from SHPO review?
Yes
Prepare and file an *Exempt from SHPO Review, Project Determination Form* (Form 1.B). **NO FURTHER CONSULTATION WITH SHPO IS REQUIRED!**
No
Yes
Does the action meet Qualifying Criterion #3 for categorical exemption from SHPO Review?
Yes
No
CONSULTATION WITH SHPO IS REQUIRED! Verify whether consultation regarding architectural/historical resources is required (see Section 2) and submit all appropriate documentation to consulting parties for 30-day review, in accordance with the submittal checklist.
Did you receive a 30-day notice of receipt via email from SHPO within one week of project submittal?
No
Your submittal was incomplete and will be returned to you for additional information. Carefully review your submittal checklist and resubmit information to SHPO for 30-day review.
Yes
SHPO will review submittal and provide comments via email by the date indicated in the 30-day email notice.

SECTION 3: ARCHAEOLOGICAL RESOURCES

INTRODUCTION

The guidance in this section is applicable to projects involving earthmoving that could disturb archaeological deposits, features, ruins, and/or cultural landscapes. Section 3 will discuss the criteria for categorical exemption of certain earthmoving activities not normally requiring SHPO review and how to apply them. It will cover a list of activities that have been categorically exempted from SHPO review, the appropriate procedures for coordinating consultation with the SHPO on non-exempt activities, and the documentation standards that have been established for SHPO consultation.

PROJECTS NOT NORMALLY REQUIRING SHPO REVIEW

Some earthmoving projects have greater potential to adversely affect significant archaeological properties than do others. For instance, the construction of a new five-acre sewage treatment plant on a 'raw land' alluvial terrace has much greater potential to encounter a significant prehistoric site than would a similar project located in an upland area that had been profoundly disturbed by a previous highway project.

Qualifying Criteria:

The following is a list of qualifying criteria. These are the first questions you should ask to determine whether SHPO consultation is required. If either Criteria 1 or 2 and Criterion 3 are met document the determination in the file using the Exempt Project Determination Form and you are done. No SHPO consultation regarding archaeological resources is required. *However, it may still be necessary to complete consultation with SHPO regarding Architectural/Historical resources that may be involved (please see Section 2).*

1. **The Area of Potential Effect (APE) has been intensively surveyed after 1989 and determined by the federal agency not to contain historic properties, and this finding was accepted by the SHPO.** (Please note that an activity can be excluded from SHPO review under Criterion 1 *only* if Criterion 3 also applies).

   It is assumed that archaeological surveys performed after 1989 employed techniques that are consistent with current standards. Most of the archaeological survey coverage for the State of Iowa has been digitized and placed on the I-Sites geographical information system database (GIS) maintained by the University of Iowa Office of the State Archaeologist (OSA) in Iowa City.

   Because of the sensitivity of the information, I-Sites offer two levels of on-line accessibility. The public access site contains basic information that identifies the number of reported archaeological sites by township section. *Site and survey locations are not provided.* The professional access site is available only to professionals who are registered with the OSA. This side of I-Sites not only identifies site and survey locations, but also provides links to other archaeological databases.

Information regarding past survey work may also be obtained by those with a demonstrated need-to-know by consulting the records at SHPO and at the OSA. We ask that patrons contact us in advance to ensure that SHPO staff will be able to assist in accessing the requested files.

2. **If the APE has been profoundly disturbed.** (Please note that an activity can be excluded from SHPO review under Criterion 2 *only* if Criterion 3 also applies).

   One misconception frequently held by project proponents is that since a land parcel has been cultivated - sometimes for decades - it has been previously disturbed and therefore no significant archaeological deposits could possibly remain. While the land may have been subject to past agricultural disturbance, it may not have been profound. In other words, the potential for significant archaeological deposits remains.

   'Profound disturbance' occurs when a past activity or activities have physically altered the three-dimensional Area of Potential Effects (APE) in its entirety to the point where there is no potential for an archaeologically significant property to remain.

   One must remember that the project APE is three-dimensional, and while there may be no apparent signs of a site located at the surface, intact deposits and features may be present well-below the modern land surface and still within the APE. In Iowa, prehistoric archaeological sites have been discovered at depths from 20 to 25 feet below surface - and deeper.

   In order to cite exclusion from SHPO review under Criterion 2, profound disturbance *of the entire APE* must be demonstrated through archival sources.

3. **The project will NOT involve buildings, districts, objects, structures, sites, or landscapes in the APE that are more than 50 years old.** (Please note that an activity cannot be categorically excluded under Criterion 3 alone, but must also meet the conditions of either Criteria 1 or 2).

   An OSA archaeological site file search is strongly recommended as a first step for <u>all</u> projects that involve earthmoving (see Appendix 3.A, and Appendix 3.B, Figures 11 and 12).

   If, in the absence of other types of properties that are 50 years in age or older, an OSA search reveals the presence of an unevaluated archaeological site in or immediately adjacent to the project APE, then exemptions under criteria 1 and 2 do not apply.

   If, on the other hand, an archaeological site (in the absence of other types of unevaluated properties that are 50 years in age or older) was identified *and*

evaluated as Not National Register Eligible by a survey conducted after 1989 that completely covered the current APE and SHPO concurred with the findings of the survey and the National Register evaluation; or, the site, and the whole of the current APE, were profoundly disturbed by a previous earthmoving event, then Criterion 1 and 2 would apply.

Please remember that the OSA site file search only reports the existence of *reported* archaeological sites. So, a negative search does not necessarily mean that there are none present and that the project is automatically exempted from SHPO review.

There are many archaeological sites in the state that have never been reported and do not appear in the State's inventory, but are known to local collectors and historians. Additionally, the absence of archaeological sites in the State's inventory for any given parcel of land may merely indicate that the area in question has never been systematically surveyed for archaeological resources.

It must be remembered that the project proponents are not only responsible for identifying known sites, but any sites that *might* be present within the APE that are presently unknown. Information on the eligibility of an archaeological site can be obtained by contacting the SHPO Inventory Coordinator (see Appendix 1.B). Please note that the site National Register eligibility recommendations on the completed Iowa Archaeological Site forms does not reflect whether the SHPO concurred with those recommendations. The National Register archaeological site status database maintained by the SHPO is the only source that contains the records of SHPO findings.

Finally, one must remain vigilant of the undertaking's potential to cause *indirect effects* to other types of properties such as buildings and districts. For instance, a project that proposes the construction of apartments on an infill lot in a large city may be exempt from SHPO's archaeological review but it may still require review from its Architectural Historian particularly if the activity will take place within the boundaries of an historic district or adjacent to an individually eligible or listed property.

If you have difficulty in applying the criteria or have any questions concerning them, contact either the review staff at SHPO or the Environmental Review Officers at IDED or DNR for assistance.

Use the quick-glance chart below to determine if SHPO consultation is necessary using the qualifying criteria.

Does the activity qualify for exemption under Criteria 1 or 2?	**Does criteria 3 apply?**	**Is further consultation with SHPO required?**
No	No	Yes
Yes	No	Yes
Yes	Yes	*No

* Assumes the absence of other types of historic properties.

Exempt Activities:
If the undertaking does not meet the qualifying criteria above, but is included in the exempt activity list below, the project will have little potential to affect a property, even if historic properties are present. If any of the following are met, document the determination in the file using the Exempt Project Determination Form and you are done. No SHPO consultation regarding archaeological resources is required. *However, it may still be necessary to complete consultation with SHPO regarding Architectural/Historical resources that may be involved (please see Section 2).*

The following activities are considered exempt from further review by the SHPO archaeologist because they have limited potential to affect historic properties:

1. Photoscopic pictures and video of water and/or sewer pipe.
2. Re-lining of water and/or sewer pipe.
3. Point repairs of water and/or sewer pipe.
4. Hydrant replacements
5. Manhole cover replacements.
6. New/replacement service lines and related appurtenances involving boring or slit trenches up to 6" (inches) in width.
7. Equipment replacement, purchase, removal, and/or installation.
8. Disturbance confined to the current footprint of the compound such as buildings, water treatment plants, and/or sewer treatment plants.
9. Directional boring of utility lines without sending or receiving pits.
10. Connecting pits relating to directional boring for utility lines no bigger than 10 feet by 10 feet.
11. Parallel water and/or sewer mains installed within 5 feet of the original (existing) routes and if no known National Register of Historic Places-listed or eligible sites or historic districts are within the Area of Potential Effects.
12. Wells in existing well fields.
13. Geotechnical borings and environmental monitoring wells if no recorded sites are in the vicinity.
14. Replacement of concrete or asphalt sidewalks.
15. Replacement (demolition) of water towers less than 50 years old on the same building parcel less than 1 acre in size when the new tower is not over a 10% increase in capacity or 20 feet in height as compared to the existing water tower.
16. Utility upgrades without land disturbance.
17. Parking lot rehabilitation or construction of less than one acre in size, located on row-cropped agricultural land provided that any ground disturbance activities will be confined to the plowzone, which generally extends 10 to 12 inches below surface.
18. Overhead power line and telecommunication cable replacement.

19. Resurfacing and/or rehabilitation of existing concrete or asphalt roads, drives, or entries where the area is within both existing horizontal and vertical alignments.
20. Conversion of an existing gravel road to concrete or asphalt where the area is within to existing horizontal and vertical alignment.
21. Pavement widening and/or should construction and the addition of auxiliary lanes, such as turn lanes or climbing lanes where the area is within both existing horizontal and vertical alignment of an existing right-or-way.

Exempt from SHPO Review, Project Determination Form:
If the project is exempt from SHPO review, either because the subject property meets the Qualifying Criteria or the proposed project is on the Exempt Activities list, then you should document the exemption on an Exempt from SHPO Review Project Determination Form (Form 1.B). This form should be filed in your project file and submitted according to the Monitoring and Reporting section of the PMOU.

Use the quick-glance chart below to determine whether SHPO review is required.

Does the proposed action meet the "Qualifying Criteria"?	Is the activity exempt?	Is further consultation with SHPO required?
Yes	Not applicable	No. File Exempt Project Determination Form.
No	Yes	No. File Exempt Project Determination Form.
No	No	Yes. Submit appropriate information to SHPO.

APPENDIX 3.A: THE ARCHAEOLOGICAL SITE FILE SEARCH

The OSA is charged with the responsibility of maintaining the files on all reported archaeological sites located in the State of Iowa. The OSA also maintains I-Sites, which is the on-line version of the State Archaeological Site files.

Because of the sensitivity of the information, I-Sites offer two levels of on-line accessibility. The public access site contains basic information that identifies the number of reported archaeological sites by township section. *Site and survey locations are not provided.* The professional access site is available only to professionals who are registered with the OSA. This side of I-Sites not only identifies site and survey locations, but also provides links to other archaeological databases.

An archaeological site file search, performed by OSA staff, provides professional-level access to *site specific information* on a need-to-know basis, which goes beyond what is available through the public access version of I-Sites. This service is available to project proponents at a nominal fee. This information is also available by visiting the OSA Offices in Iowa City or the SHPO in Des Moines.

An archaeological site file search is strongly recommended as a first step for <u>all</u> projects that involve earthmoving.

An OSA site file search can be requested by contacting Ms. Colleen Eck at (319) 384-0735, or by email at Colleen-Eck@uiowa.edu.

You will be asked to complete an OSA site file search request form, attach a project location map, and submit it to the Site File Coordinator for processing. The following is an example of a completed OSA site file search request form with the attached project location map.

REQUEST FOR IOWA SITE FILE SEARCH

Name: **Farfel Mittelschmerz**

Company/Agency: **FUNCO**

Address: **423 Eisenaugen Ave, Suite 45, Zoar IA 55555**

Phone Number: (319) 334-9087 FAX Number (business number only): **(319) 334-9088**

Email **farfel@3rdeye.com**

I am: _____ Listed on the Iowa SHPO Archaeological Consultants List

_____ Certified by the Society of Professional Archaeologists

_____ On Registry of Professional Archaeologists

X Other qualifications (**specify**): Lead Federal Agency Official

Purchase Order No. (if any): 4930554

Provide Information for this search by: __ Fax _____Mail __**X**__Email

Agencies Sponsoring or Funding Project: **HUD CDBG WS-0001 / EPA-DNR SRF-05-0001**

Is this search for Section 106/NEPA Compliance? **X** Yes _____No

Area of Search County: Cedar

Township: **T83N** Range: **R11W** Section: **18** Quarter Section(s): **SW**

Township: **T83N** Range: **R11W** Section: **19** Quarter Section(s) **W ½**

USGS Quadrangle Map(s) Name (Please attach with project outlined): **Zoar** (**see attached)**
[search will be conducted for sites within one mile of project area]

Maps may be downloaded and printed at **http://cairo.gis.iastate.edu/new_site/** (please use 1:24000 quads)

Repository for Project Documentation: **City of Zoar**

FOR OSA USE ONLY (below line)

ISF Search No._____ Date Received _____

Search Conducted by:_____ Date Completed:_____

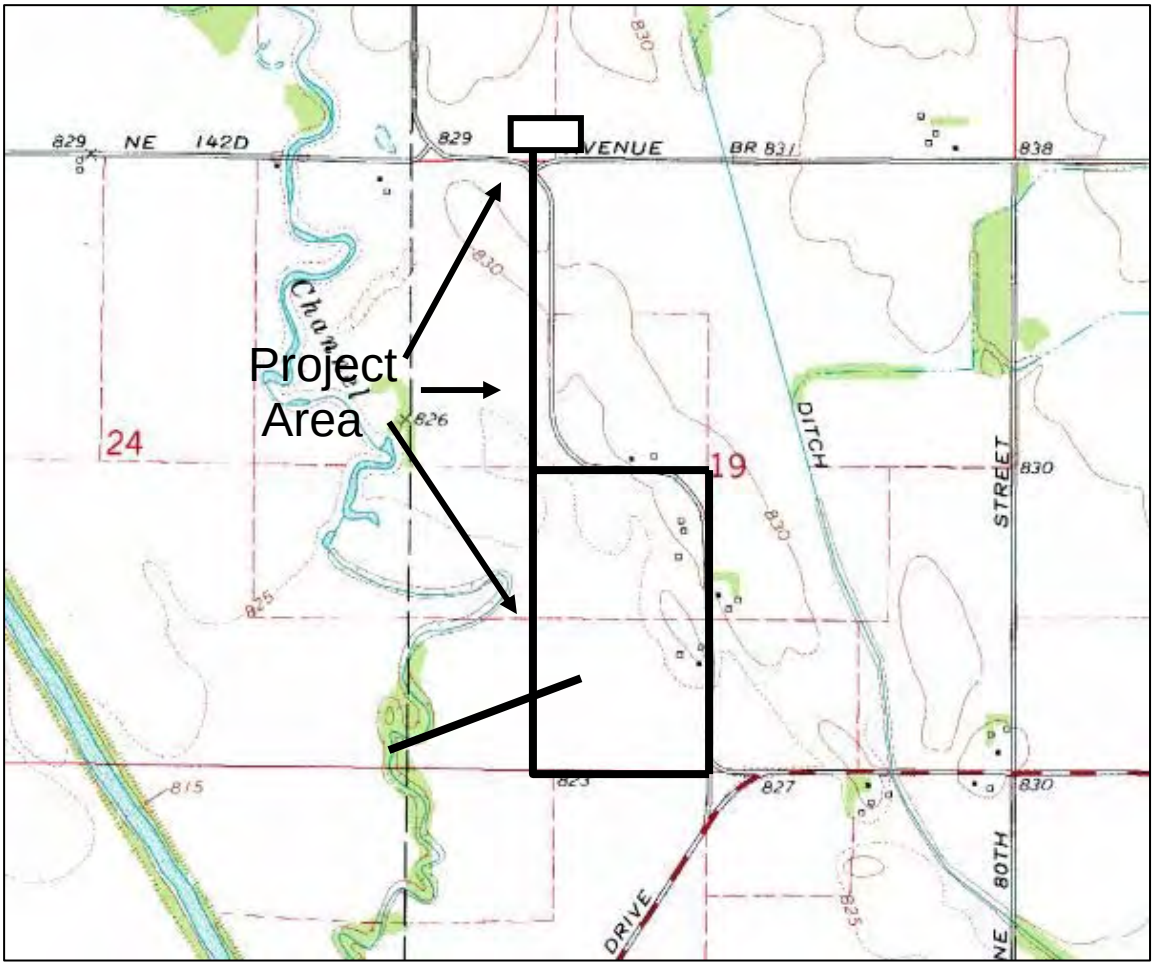
Material Sent: _____Site Location Maps _____Site form copies (pgs)

_____Other _____Letter

Method Sent: _____Phone_____Fax_____Mail_____Email
(minutes) (pages) (ounces)

Office of the State Archaeologist 700 Clinton St. Bldg. Iowa City, Iowa 52242-1030 319/384-0732 FAX 319/384-0768
E-mail: OSA@uiowa.edu

Zoar Consolidated Wastewater Treatment Project



Zoar Quad

Upon completion of the search, the OSA will issue the results in the form of a dated letter and print out(s) of the relevant site/survey location maps and site file database entries. The site file search covers an area that extends one-mile in diameter around the project location. If sites fall within the project area of potential effects they are identified on the map. If sites fall outside of the APE but within the search perimeter their locations are withheld and the pertinent township section is shaded and the number of sites in that section indicated. The database printout lists information (site number, cultural affiliation, site type, site area) for all of the sites identified by the search.

Please remember that the OSA site file search only reports the existence of *reported* archaeological sites. So, a negative search does not necessarily mean that there are none present and that the project is automatically exempted from SHPO review under Criterion 3 (above).

Information on the eligibility of an archaeological site can be obtained by contacting the SHPO Inventory Coordinator (see Appendix 1.B). Please note that the site National Register eligibility recommendations on the completed Iowa Archaeological Site forms does not reflect whether the SHPO concurred with those recommendations. The National Register archaeological site status database maintained by the SHPO is the only source that contains the records of SHPO findings.

There are many archaeological sites in the state that have never been reported and do not appear in the State's inventory, but are known to local collectors and historians. Additionally, the absence of archaeological sites in the State's inventory for any given parcel of land may merely indicate that the area in question has never been systematically surveyed for archaeological resources.

Finally, the site information obtained through the OSA is considered confidential and is protected under federal (16 U.S.C. §470w-3) and state laws [IC§22.7(.21)]. It must be withheld from public access and redacted from all official publications such as public notices, environmental assessments (EA), environmental impact statements (EIS), findings of no significant impacts (FONSI), and records of determinations (ROD). Transfer of this information to parties other than the Responsible Entity, agency official or SHPO must first be approved by the State Archaeologist.

APPENDIX 3.B: PREPARING A SUBMITTAL FOR REVIEW

Standardization of project submittals is an essential component of fulfilling our goal to stream-line the SHPO review process. Providing SHPO staff with complete and relevant information in a timely manner ensures a comprehensive review, quick turn-around, and hopefully will eliminate - or at least minimize, the number of problems that can occur on a project down the road.

The discussion below details all of the documents necessary when compiling a project submittal for SHPO's archaeological review.

1. COVER LETTER (Figures 1A-C).

All submittals should be made under a cover letter prepared by the Responsible Entity or an official for the lead federal agency. The letter should include clear and concise descriptions of the undertaking's scope and of the project's area of potential effects. If the undertaking is co-sponsored by more than one federal agency, this should also be noted. The other agencies should be identified and details of their actions provided.

Remember, by agreeing to take the lead in section 106 compliance, the lead federal agency is legally bound to fulfill the compliance obligations of the other agencies. For instance if the HUD applicant takes the lead on a project in which the community is receiving a CDGG grant for the creation of a new sewage treatment plant, a DNR SRF loan for a new force main, and a 404 wetland permit from the Corps of Engineers, then the CDBG applicant is responsible for the *entire* combined APE, and not just that portion tied to the sewage treatment plant.

2. REQUEST FOR SHPO COMMENT ON PROJECT FORM (Figure 2).

The central document in all HUD and EPA/SRF project submittals is the REQUEST FOR SHPO COMMENT ON PROJECT form (Figure 1). A copy of this form and instructions on its completion can be downloaded at:

http://www.iowahistory.org/preservation/review_compliance/review_compliance.html

The REQUEST form was originally designed specifically for HUD projects. However, other agencies, despite the HUD references, have adopted it for their own use. SHPO staff is now developing agency-specific versions of this form.

Accompanying the REQUEST form are the various attachments that support the Responsible Entity's stated determination of effect. These include, but are not limited to the following: project maps, project plans, aerial and site overview photographs, the results of historic properties investigations, and site inventory forms. The form calls for specific, basic documentation; however, the submitter may include other documents that he/she judges to be pertinent to SHPO's review such as historic maps, Sanborn Fire Insurance maps, historic photographs and the like.

When completing the REQUEST form, be sure to do the following:

1) Indicate whether the submittal relates to a new project or one that is already on file with the SHPO. In the case of the latter, always be sure to include SHPO's review and compliance number.
2) Complete all of the lines a-g in section I, and all of the appropriate check boxes in Section II.
3) Number of acres in the project APE. The acre is the standard unit of measurement for the horizontal dimension of the project APE. This information also allows SHPO to calculate the landmass subject to reconnaissance and intensive survey, and SHPO review at any point or interval in time. Many engineering and GIS programs can calculate area automatically and accurately. There are also metric conversion programs available on line. If these options are not available, the calculation of acreage is relatively simple to perform (total square footage ÷ 43, 560 = acres). In instances where the total project APE is less than 1-acre in size it is acceptable to defined it on the REQUEST form as <1acre. Failure to identify the APE acreage on the REQUEST for will result in SHPO's return of the project submittal without further review.
4) Legal location: Section, Township, and Range. Identification of the project's legal location is necessary so that the SHPO can enter and track the project location in the departmental database, hardcopy reference maps, and GIS data layers. This information can be obtained online at: www.ortho.gis.iastate.edu. In the past SHPO has received *legal descriptions* of land parcels in lieu of the section, township, and range. This only presents a problem if the section, township, and range are not included within the description. It also slows SHPO's project login process when it is not identified on the REQUEST form leaving the 106 Coordinator to search through the rest of the submittal. Failure to identify the legal location on the REQUEST form will result in SHPO's return of the project submittal without further review.
5) Check the box identifying the appropriate agency determination in Section III. DO NOT CHECK MORE THAN ONE DETERMINATION OF EFFECT. Submittals stating more than one determination will be returned to the sender. Remember, SHPO's 30-day review and comment period begins when it has received a request to review *an agency's determination of effect.* SHPO is under no time obligation if a determination has not been sent or if conflicting determinations are provided.
6) The form must be signed by the Responsible Entity or an official from the lead federal agency. Be sure to type or print the name and title below the signature line.

2. SUPPORTING DOCUMENTS FOR PROJECTS INVOLVING EARTHMOVING.

A. Project location map (Figure 3). The Iowa SHPO and OSA use the 7.5 minute series of USGS Topographic quadrangle maps (Quads) as their base of reference. Most of Iowa's archaeological site and survey information has been plotted on either hardcopy or electronic versions of these maps. The USGS quads also provide very useful information regarding local relief and landforms,

drainage, and landuse that always contributes to SHPO review. Copies of these maps can be downloaded at: www.ortho.gis.iastate.edu.

Quad maps included in a SHPO submittal should be at a scale of no greater than 1:24,000 and the project area of potential effects should be clearly identified. If more than one sheet is required, please locate match lines so that they can be easily reassembled by SHPO staff. Please use clean copies and DO NOT USE MAPS FROM OSA SITE FILE SEARCH. Oftentimes, the maps produced by the OSA site file search are 'busy' with survey data, and so, do not provide a clear field for identifying the APE. Make sure the Quad name is identified and an arrow indicating 'north' is included.

B. *Site Plan* (Figures 4a-b). Site plans provide SHPO with a visual reference of a project's components, their scope, and their spatial arrangement. Obviously, the more detailed the plan the more thorough SHPO's review. In most cases a general schematic of the proposed facility footprint or facility upgrade will suffice. However, there may be instances where more detailed plans such as blue prints will be necessary.

C. *Photographs*. (Figures 5-10). Aerial photographs are an excellent source on current landuse and condition. High resolution aerial photographs for the entire state of Iowa are now available on line at www.ortho.gis.iastate.edu (Figure 5). Aerial photos submitted for SHPO review should be clear with resolution no greater than 10m pixels. The area of potential effects should be clearly marked. If more than one sheet is required, please locate match lines so that they can be easily reassembled by SHPO staff. Be sure to include a North Arrow.

Site overview photographs provide SHPO staff with ground-level views of the project APE. For projects involving 5 acres or less, two photographs depicting representative views of the APE should be sufficient. More may be necessary on projects in excess of 5 acres, projects where dense vegetation is present, or projects whose APE encompasses multiple landforms.

No Polaroid photographs will be accepted. Also, all photographs must clearly show their content. Color and digital photographs are acceptable. Digital photographs shall be of an appropriate resolution and brightness. Please use an appropriate camera (2 or 3 megapixel minimum – 4 megapixel preferred) and appropriate printing resolution (300 dpi or higher preferred). Photographs should be printed at an appropriate scale to clearly see the content of the photo, and should measure at least 3 x 5 inches. Grainy, dark/light, blue, and blurry photographs will be returned along with your entire submittal.

Captions should be written on the backs of each photograph describing the subject matter and view orientation. For instance: "Location of proposed south sewage lagoon looking southeast from corner of 76th Street & HWY 7". The

position from which photograph was taken and the view orientation should also be indicated on the site plan.

D. *Descriptions of the proposed disturbance and present condition of the APE.* The cover letter or an attachment should provide a detailed description of the intended earthmoving activities and of the current condition of the project APE. Former landuse practices may be discernable from present-day condition of the APE.

   The APE is three-dimensional, and so, has both vertical and horizontal aspects. Description of earthmoving should detail the maximum width and depth to be achieved and the manner by which it is to be performed (i.e., backhoe, bulldozer, trencher, etc).

E. *OSA Site File Search, Phase IA, or Phase I survey results* (Figures 11-13). An OSA site file search is recommended as a first step in identifying historic properties in the project APE on all projects. And in the majority of cases, this is what should be included in the SHPO review submittal. The OSA site file search is described in greater detail above.

   A Phase Ia survey, also referred to as reconnaissance-level survey, typically involves more background research and less field work. A landuse history of the APE is developed through consultation of archival sources, such as property abstracts, assessor's records, county and local histories, historic maps and photographs, census records, informant interviews, etc. The consulting archaeologist may also arrange for a brief visit to the construction site in order to make a visual assessment of the property condition. Limited subsurface sampling may be performed to evaluate soil conditions and degree of erosion or to confirm suspected disturbances. The results are presented in report form along with the consulting archaeologist's recommendations regarding the need for additional study.

   Phase I survey, referred to as an intensive-level survey, is much more involved with the focus placed on more field work. Like the Phase Ia survey, the project archaeologist is expected to perform preliminary archival research before entering the field in order to identify known or potential site locations. Once this has been accomplished, the field work can begin. Sampling strategies in the field vary depending on the condition of the land at the time of survey, potential for deeply-buried archaeological deposits, and the resources that are identified.

   Again, the results are presented in report form along with the consulting archaeologist's recommendations regarding the need for additional study. If an archaeological site(s) is identified and evaluated as ineligible for the National Register eligibility at the Phase I level of investigation, then the Principal Investigator must state the basis of their recommendation. Similarly, if the site is recommended as potentially eligible or eligible, the Principal Investigator must

state the basis of their recommendation *with reference to the appropriate National Register Criteria.*

There may be instance when the Phase Ia or Phase I - conducted prior to SHPO consultation, is more advantageous to the project schedule. While SHPO does not typically object to preemptive action in this regard, we do advise caution.

In these instances it is absolutely vital that the project APE and scope have been finalized and that they have been accurately related to the consulting archaeologist so that his/her survey will provide adequate coverage of the *entire* project APE. If the project area has not been adequately surveyed, or the scope or APE are changed after the survey has been performed, then it may be necessary for the project archaeologist to return to the field and perform supplemental survey, which means additional cost – and time – to the project.

SHPO archaeologists evaluate the sufficiency of archival review, field work, and reporting based upon standards established in the *Guidelines for Archaeological Investigations in Iowa* (Kaufmann 1999). Therefore, it is essential that the archaeological consultant is familiar with these standards and that any departure from them is first discussed with the SHPO archaeologist and then justified in the final report. Failure to do this will result in the rejection of the final report.

F. Architectural/historical properties. If the project also involves impacts to architectural and/or historical properties, then the appropriate documentation will need to be included as part of the review submittal. Please refer to Section 2. DO NOT SUBMIT ARCHAEOLOGICAL ANDARCHITECTURAL/HISTORICAL DOCUMENTS SEPARATELY. This only slows processing and increases the risk of misplacement or loss.

G. Other Documents (Figure 14). Be sure to include copies of any other document that might relevant to SHPO's review. If more than one federal agency is sponsoring the project and a lead federal agency has been designated, include a copy of the lead federal agency agreement.

The completeness of project submittals will be monitored by SHPO's Section 106 Coordinator at the time of project log in. Incomplete submittals will be returned without review to the sender along with a copy of SHPO's Submittal Checklist identifying all deficiencies in the project documentation. In these instances, SHPO's 30-day review and comment period is not invoked and therefore the email notification of the 30-day comment period will not be sent.

APPENDIX 3.C: EXAMPLE SUBMITTAL FOR SHPO REVIEW

Putting the "Fun" back in Government!

Farfel Mittelschmerz, Community Development Specialist

October 19, 2004

Mr. John Gault, Archaeologist
Iowa State Historic Preservation Office
600 East Locust Street
Des Moines, Iowa 50319-02090

Dear Mr. Gault,

On behalf of the City of Zoar and the Zoar Wastewater Consortium, FUNCOG is submitting this letter and the attached documents regarding the Zoar Consolidated Wastewater Project (Project) for your review. The Project will receive federal funding through the Community Development Block Grant Program (CDBG) and the State Revolving Loan Fund Program (SRF) thereby invoking compliance with the National Environmental Policy Act (NEPA) and the National Historic Preservation Act (NHPA). Mayor Marvin Tripphammer, the HUD Recipient and Responsible Entity for the purpose of Section 106 compliance, has agreed to assume the role of Lead Agency Official [36 CFR 800.2(a)(2)].

Project Purpose and Need

In 2003, the City of Zoar Iowa received a substantial grant through the Iowa Economic Initiative Program (IEIP) enabling it to stimulate the local economy by bringing perspective business ventures into the community. Earlier this year, the City finalized its negotiations with *Chef Antoinne's Southern Fried Glibs* to move its headquarters and primary manufacturing facility from Tierra Del Fuego to Zoar. The commencement of production in August brought 2,000 new jobs to the community.

Its recently acquired title of GLIB CAPITOL OF THE WORLD has resulted in an unforeseen windfall for Zoar and for Iowa. The relocation of *Chef Antoinne's* also necessitated the relocation of the Glib Research and Development Center, which is now housed at the new Antoinne Gestaldi Research Laboratory at Georg Von Podebrad College. International students and scientists alike are emigrating to Zoar and the surrounding area to pursue their research. As a result, the population of Zoar has increased from 1,500 to 15,000 in the last six months.

This unexpected population increase has placed a tremendous strain on Zoar's existing wastewater processing and treatment facility, which is currently operating at maximum capacity. Failures occur daily and the City has resorted to pumping excess waste into railway tankers for later processing. The City is now under an Administrative Order directing it to implement measures to update its obsolete facility and increase its capacity (Letter from Lee Gabriel to Mayor Tripphammer, October 1, 2004).

Project Location and Scope, and Definition of Project Area of Potential Effects (APE)

The City has retained a local engineering firm (ACME Engineering, Inc.) to design a new wastewater treatment system that will be located 2 miles south of town in Sections 18 and 19, T83N-R11W. The new system will consist of four principal components: a Lift Station, 36" inch force main, waste treatment facility, and lagoons with 12" inch outfall occupying a total of 83 acres.

FUNCOG
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Phone: (319)334-9087
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FIGURE 1A. COVER LETTER (PAGE 1)

Putting the "Fun" back in Government!

Farfel Mittelschmerz, Community Development Specialist

1. *Lift Station.* The new Lift Station will be located on a 2 acre parcel on the north side of 88th Avenue in the SE1/4, of SE ¼, of SW ¼, of SW ¼ of Section 18, T83N-R11W. The station will accept waste from two existing feeder lines that lie within the public road right-of-way on the north side of 88th Avenue. A 100 foot by 100 foot one story structure will house a 40 x 40 x 10 (deep) foot transfer pit. Building footings will extend to a depth of 6 feet. The Lift Station will be powered by an electric service drop from a nearby utility pole located on the south side of 88th Avenue.

2. *Force Main.* The 36" force main will connect to the lift station on its south side. The line will be directional bored under 88th Avenue to avoid disrupting local traffic. Sending and receiving pits will be necessary on 20 ft x 20 ft sending and receiving pits will be required on both sides of 88th Street to accomplish the road crossing. However most of this excavation will be confined to the road ditches, which are unusually wide and deep. The force main will be installed on the west side of 79th Street along a 50 foot wide, private easement in the NW and SW1/4s, of NW ¼ of Section 19, T83N-R11W . The utility trench will be 30 feet in width at the top and 6 feet in width at the bottom. It will be 8 feet in depth at its exit from the Lift Station to and grade to a maximum of 15 feet in depth at its connection with the Grinder Station. The total length of the force main corridor is 2,640 linear feet with a total area of 3.1 acres.

3. *Waste Treatment Facility.* The new treatment facility will occupy a 38-acre parcel in the NE ¼ of SW ¼ of Section 19, T83N-R11W. It will consist of a 150-foot x 100-foot raw sewage Grinding Station building; a 150-foot x 100-foot Chemical Treatment Building, two 250,000 gallon Holding Tanks, delivery and transfer piping, and other appurtenances. Soil correction will be required across the entire site to a depth of 4 feet. Borrow for the construction of lagoon berms will be taken from a 25-acre area located in the southwest corner of the Treatment Facility grounds.

4. *Lagoons and outfall.* Two 1 Million Gallon aerated lagoons will be construct in the SE ¼ of SW1/4 of Section 19 and will occupy an area of 38 acres. Borrow for the construction of the berms will be taken from a 25-acre area located in the southwest corner of the Treatment Facility grounds. Excavation will extend to a total depth of 2 feet below the surface. Treated water will be discharged into Brown Trout Creek through a 12" line. Excavation for the outfall pipe will occur along a private easement 1,320 feet long by 50 feet wide. The trench will be 10 feet wide at the top, 4 feet wide at the bottom, and 6 feet deep at its east-end grading to a maximum depth of 8 feet at its west-end.

Historic Property Identification

Archaeology

An archaeological site file search was conducted by the Office of the State Archaeologist to determine whether any previously reported sites or survey areas exist within the project APE. Four prehistoric sites (13CD34-13CD37) are located within the area of potential effects. All are described as prehistoric artifact scatters, one, 13CD34, possesses an historic component associated with a razed farmstead dating from 1880s – 1920s. Their significance has not been determined and none have been evaluated for their eligibility to the National Register of Historic Places.

The City of Zoar entered into a contractual agreement with the Department of Antiquities and Fine Arts at Georg Von Podebrad College to conduct a Phase I archaeological survey of the project APE. A copy of GVP's final report is enclosed for your review. Dr. Danforth Haversham, Principal Investigator, found that all three sites had been profoundly disturbed by past road building activities and aggregate mining associated with

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FIGURE 1B. COVER LETTER PAGE 2

Putting the "Fun" back in Government!

Farfel Mittelschmerz, Community Development Specialist

United Arms Production Plant in Zoar. Dr. Haversham concluded that none of these sites were eligible for listing in the National Register of Historic Places owing to their compromised integrity and limited research potential.

Architecture

There are five standing structures situated within the area of potential effects and all will be demolished as part of this undertaking. Two are ranch homes constructed in the mid-1960s, two are garages built at the same time, and one is pole barn constructed in the 1970s. There are also a number of grain storage bins that will be removed prior to construction. None meet the basic 50-year age criteria for National Register consideration.

One structure meeting the 50-year age criteria is situated immediately adjacent to the project boundaries on the north side of 79th Street. Upon the advice of Dr. Haversham, the City retained Mr. I.M. Wright, Architectural Historian at the Department of Architectural, George Von Podebrad College to evaluate the architectural and historical significance of this structure. Mr. Wright concluded that the Helmut Schmizer School house (now named Hunter School), while eligible for listing in the National Register under criterion C, will not be adversely effected by the construction or visual presence of the proposed facility. Mr. Wright's letter report is included for your consideration along with the completed Iowa Site Inventory forms.

Based upon the results of GVC's archaeological and architectural surveys, the Responsible Entity has concluded that this undertaking will result in no adverse effects to historic properties (see Section III, Request For SHPO Comment). On behalf of the City, FUNCOG requests that the SHPO review of this determination and the supporting documentation and provide its response within 30-days of its receipt of this submittal.

Thank you for your consideration in this matter and do not hesitate to contact me at (319) 334-9087 if you have any questions or require additional information.

Sincerely,

F. Mz.

Farfel Mittelschmerz, Community Development Specialist
FUNCOG

Cc: Mayor Marvin Tripphammer
Rube Goldberg, P.E., ACME Engineering
Lee Gabriel, Review Engineer, Wastewater Section, IDNR
Newton Armbruster, Manager -- CDBG Program, IDED

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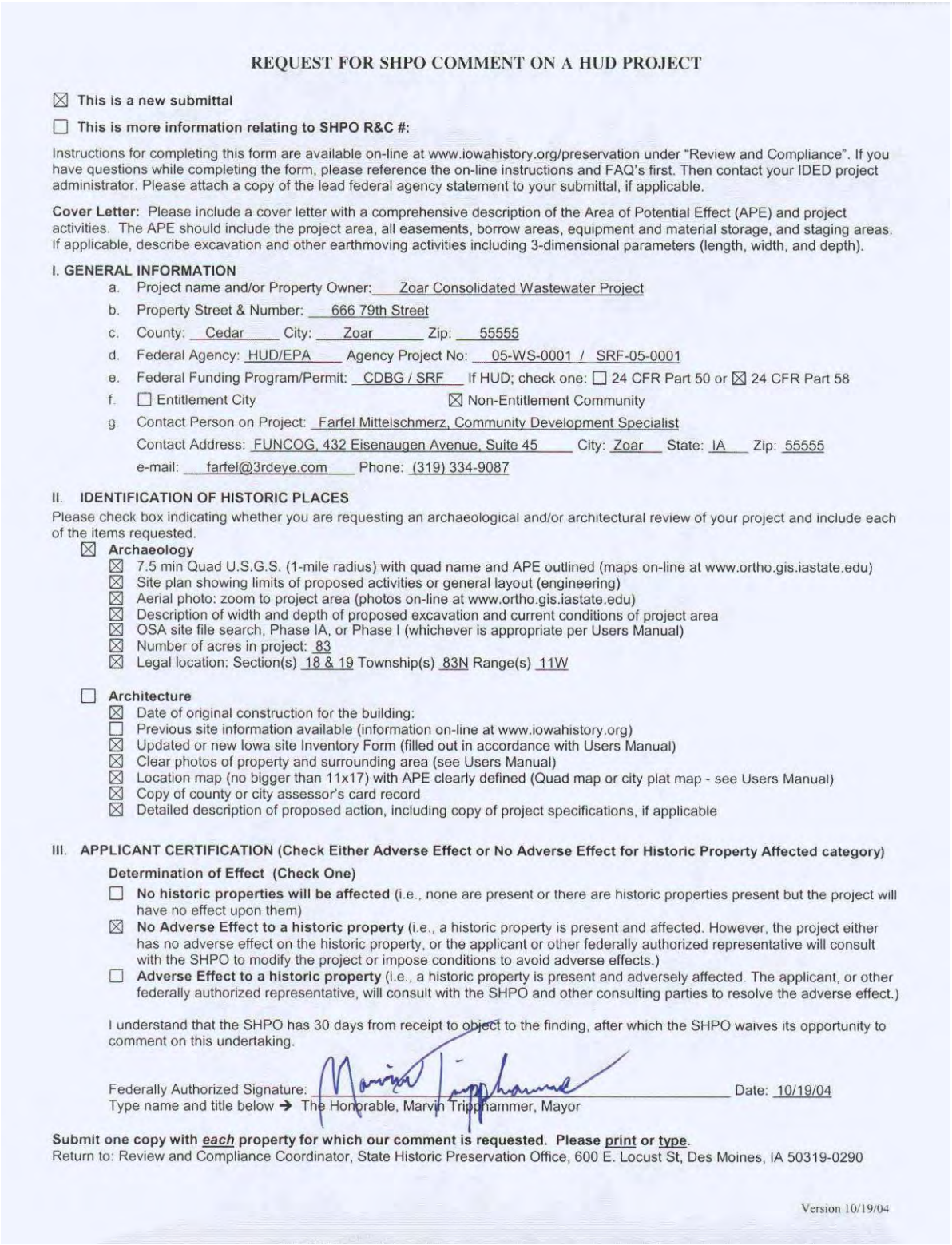
FIGURE 1B. COVER LETTER (PAGE 3)

PLEASE NOTE: The Request for SHPO Comment on a HUD Project form has been revised slightly since this example was made.



REQUEST FOR SHPO COMMENT ON A HUD PROJECT

☒ **This is a new submittal**

☐ **This is more information relating to SHPO R&C #:**

Instructions for completing this form are available on-line at www.iowahistory.org/preservation under "Review and Compliance". If you have questions while completing the form, please reference the on-line instructions and FAQ's first. Then contact your IDED project administrator. Please attach a copy of the lead federal agency statement to your submittal, if applicable.

Cover Letter: Please include a cover letter with a comprehensive description of the Area of Potential Effect (APE) and project activities. The APE should include the project area, all easements, borrow areas, equipment and material storage, and staging areas. If applicable, describe excavation and other earthmoving activities including 3-dimensional parameters (length, width, and depth).

I. GENERAL INFORMATION

a. Project name and/or Property Owner: Zoar Consolidated Wastewater Project
b. Property Street & Number: 666 79th Street
c. County: Cedar City: Zoar Zip: 55555
d. Federal Agency: HUD/EPA Agency Project No: 05-WS-0001 / SRF-05-0001
e. Federal Funding Program/Permit: CDBG / SRF If HUD; check one: ☐ 24 CFR Part 50 or ☒ 24 CFR Part 58
f. ☐ Entitlement City ☒ Non-Entitlement Community
g. Contact Person on Project: Farfel Mittelschmerz, Community Development Specialist
Contact Address: FUNCOG, 432 Eisenaugen Avenue, Suite 45 City: Zoar State: IA Zip: 55555
e-mail: farfel@3rdeye.com Phone: (319) 334-9087

II. IDENTIFICATION OF HISTORIC PLACES

Please check box indicating whether you are requesting an archaeological and/or architectural review of your project and include each of the items requested.

☒ **Archaeology**
- ☒ 7.5 min Quad U.S.G.S. (1-mile radius) with quad name and APE outlined (maps on-line at www.ortho.gis.iastate.edu)
- ☒ Site plan showing limits of proposed activities or general layout (engineering)
- ☒ Aerial photo: zoom to project area (photos on-line at www.ortho.gis.iastate.edu)
- ☒ Description of width and depth of proposed excavation and current conditions of project area
- ☒ OSA site file search, Phase IA, or Phase I (whichever is appropriate per Users Manual)
- ☒ Number of acres in project: 83
- ☒ Legal location: Section(s) 18 & 19 Township(s) 83N Range(s) 11W

☐ **Architecture**
- ☒ Date of original construction for the building:
- ☐ Previous site information available (information on-line at www.iowahistory.org)
- ☒ Updated or new Iowa site Inventory Form (filled out in accordance with Users Manual)
- ☒ Clear photos of property and surrounding area (see Users Manual)
- ☒ Location map (no bigger than 11x17) with APE clearly defined (Quad map or city plat map - see Users Manual)
- ☒ Copy of county or city assessor's card record
- ☒ Detailed description of proposed action, including copy of project specifications, if applicable

III. APPLICANT CERTIFICATION (Check Either Adverse Effect or No Adverse Effect for Historic Property Affected category)

Determination of Effect (Check One)

- ☐ **No historic properties will be affected** (i.e., none are present or there are historic properties present but the project will have no effect upon them)
- ☒ **No Adverse Effect to a historic property** (i.e., a historic property is present and affected. However, the project either has no adverse effect on the historic property, or the applicant or other federally authorized representative will consult with the SHPO to modify the project or impose conditions to avoid adverse effects.)
- ☐ **Adverse Effect to a historic property** (i.e., a historic property is present and adversely affected. The applicant, or other federally authorized representative, will consult with the SHPO and other consulting parties to resolve the adverse effect.)

I understand that the SHPO has 30 days from receipt to object to the finding, after which the SHPO waives its opportunity to comment on this undertaking.

Federally Authorized Signature: _____ Date: 10/19/04
Type name and title below → The Honorable, Marvin Tripphammer, Mayor

Submit one copy with *each* property for which our comment is requested. Please print or type.
Return to: Review and Compliance Coordinator, State Historic Preservation Office, 600 E. Locust St, Des Moines, IA 50319-0290

Version 10/19/04

FIGURE 2. REQUEST FOR SHPO COMMENT ON PROJECT FORM

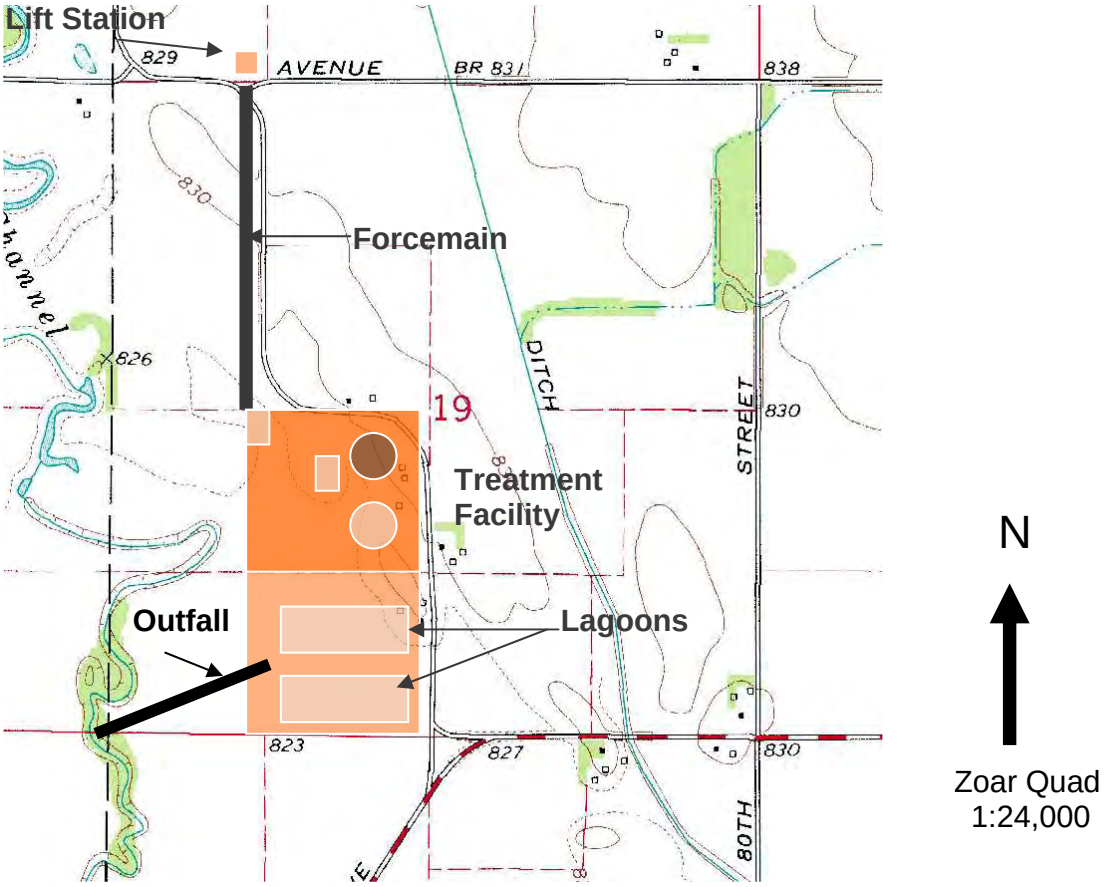


FIGURE 3. 7.5 MIN U.S.G.S. QUAD MAP WITH APE DELINIATED.

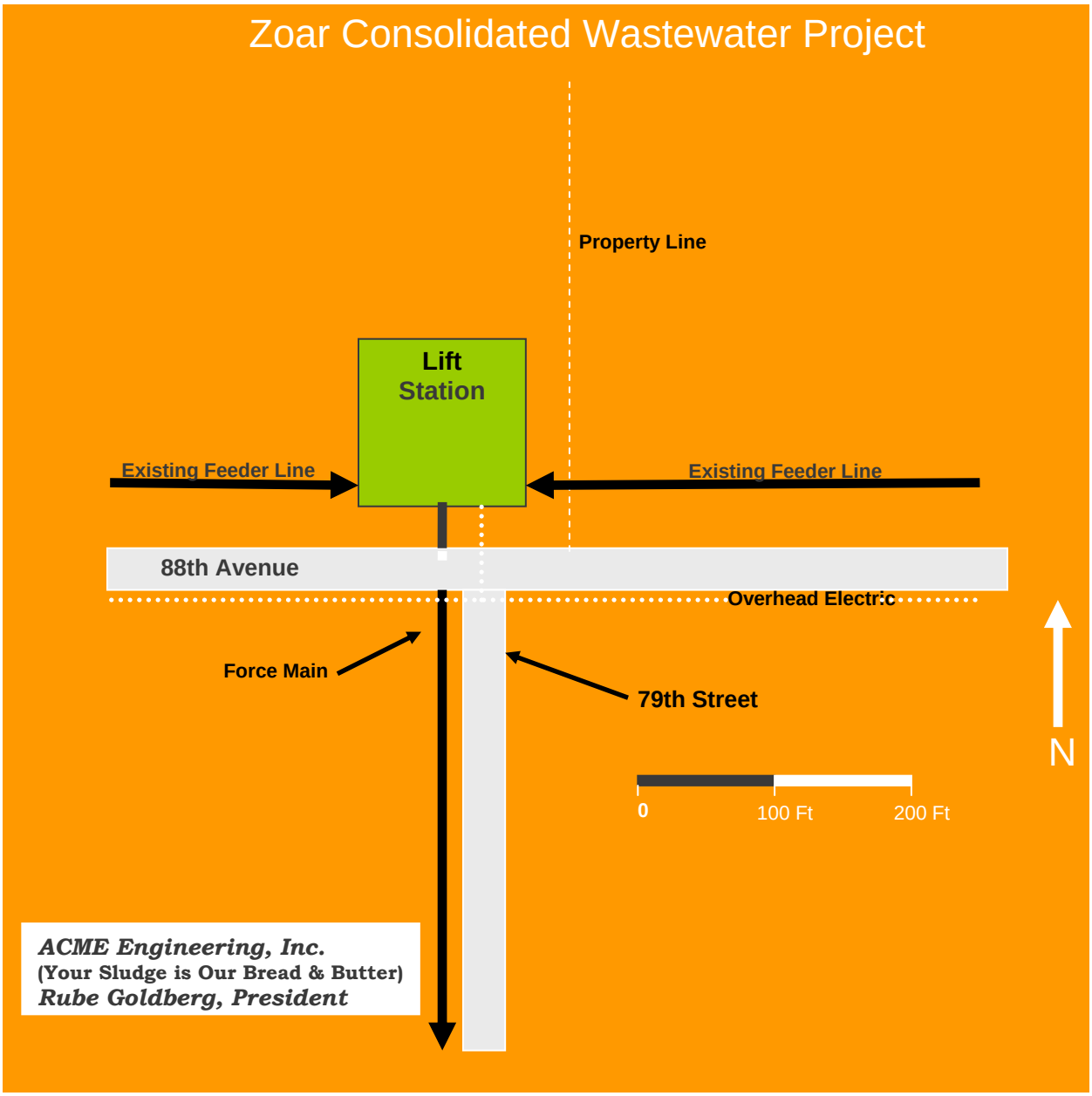


FIGURE 4A. SITE PLAN

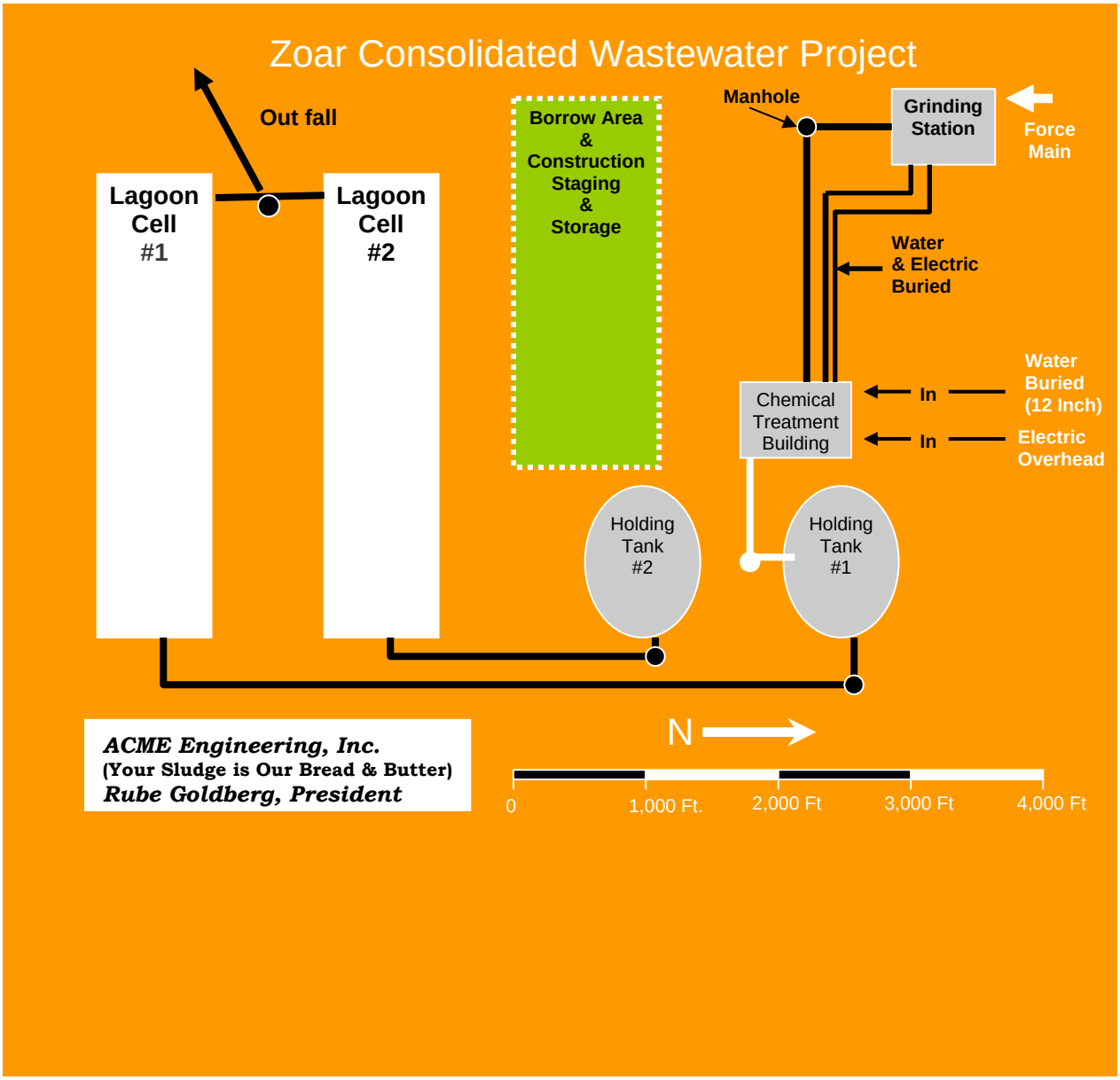


FIGURE 4B. SITE PLAN

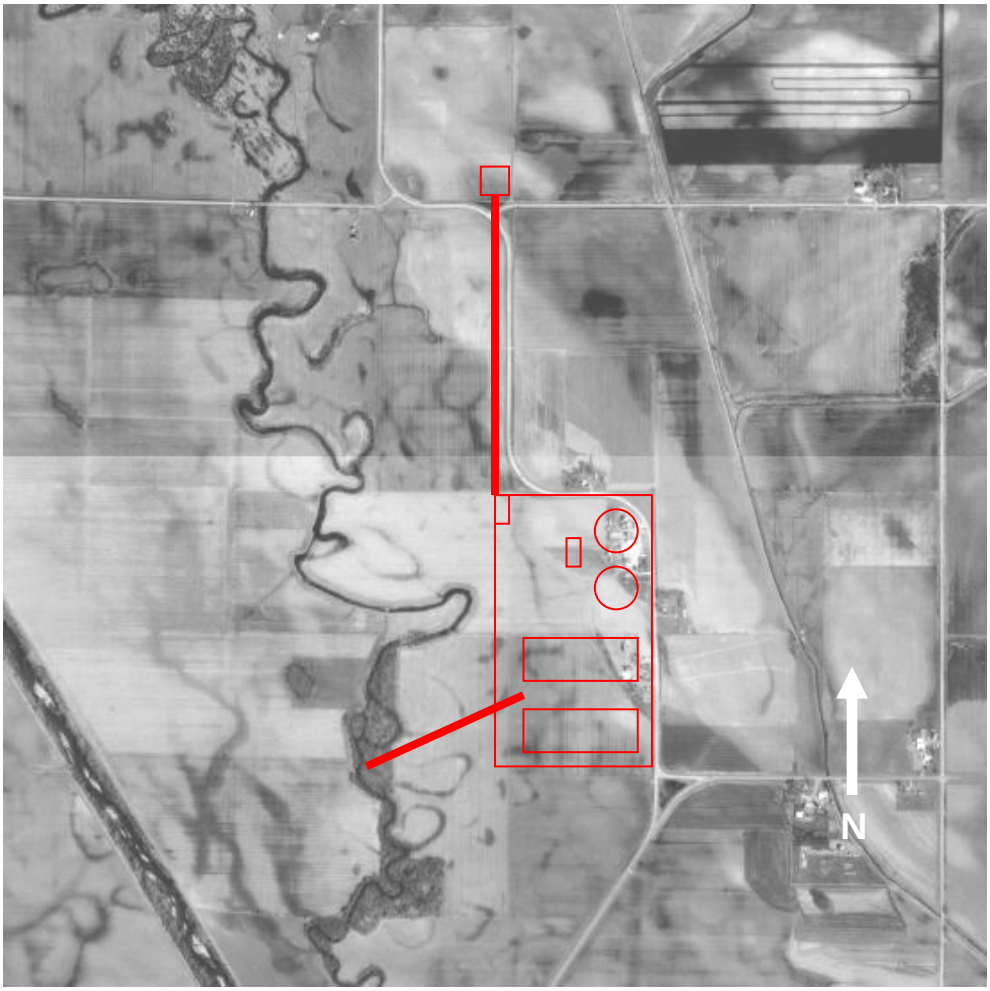


FIGURE 5. AERIAL PHOTOGRAPH OF APE

PHOTO #1: LIFT STATION SITE
LOOKING NORTH FROM 88TH AVE

FIGURE 6. PHOTOGRAPH OF APE

PHOTO #2: FORCE MAIN CORRIDOR
LOOKING SOUTH FROM 88TH AVE

FIGURE 7. PHOTOGRAPH OF APE

PHOTO #3: FORCE MAIN CORRIDOR AND GRINDER STATION
LOOKING SOUTH FROM 79TH STREET

FIGURE 8. PHOTOGRAPH OF APE

PHOTO #4: WASTEWATER TREATMENT PLANT SITE
LOOKING SOUTHEAST FROM 79TH STREET

FIGURE 9. PHOTOGRAPH OF APE

PHOTO #6: LAGOON SITE
LOOKING WEST FROM 79TH STREET

FIGURE 10. PHOTOGRAPH OF APE

THE UNIVERSITY OF IOWA

OFFICE OF THE STATE ARCHAEOLOGIST
700 Clinton Street Building
Iowa City, Iowa 52242
319-384-0732 *Fax* 319-384-0768
osa@uiowa.edu
www.uiowa.edu/~osa

Friday, October 22, 2004

Farfel Mittelschmerz
FUNCOG
423 Eisenaugen Ave. Suite 45
Zoar, IA 55555

Ref: CD Cedar **Iowa Site File Search No.** 2004XXX

Dear Farfel :

I have conducted a search of the Iowa Site File for archaeological sites recorded within one mile of the project areas described in your request for search on 10/18/2004 . This area is within T83N-R11W Sections 18, 19.
Our records indicate that four archaeological sites have been reported to the OSA within or very near the project locations. No other sites have been recorded within one mile of the project area. Other archaeological sites may be present at or near the project location but have not been discovered or reported to the OSA.
A summary of information is included with this letter along with a map of site locations and previouslysurveyed areas.

If you have not already done so, you may wish to consult with the State Historic Preservation Office (SHPO) to determine whether an archaeological survey may be needed. In the event that previously unidentified archaeological resources are discovered during ground disturbing activities on projects complying with Section 106 of the National Historic Preservation Act or other applicable federal and state laws, construction work should cease in the area of the resource and in the surrounding area where further subsurface remains can reasonably be expected to occur. The responsible federal or state agency and State Historic Preservation Office should be immediately notified and consulted about the discovery.

If during the course of construction or earthmoving signs of a human burial are encountered, those activities should be stopped at once and the Office of the State Archaeologist should be contacted immediately. Human burials may potentially include bone, ashes, or subterranean structures with or without overlying mound structures. All human burials in the state of Iowa are legally protected under Chapters 263B, 566, and 716 of the Iowa Code.

Should you need more information about a particular site, you may write to me including the appropriate site number in your request. Since every county has a different series of site numbers, be sure to include the full trinomial site designation in you request. This designation takes the form of 13XY### where XY is the county abbreviation and ### is the order in which site reports are received for a given county.

The information in this letter is intended to assist you in fulfilling any local, state, or federal laws and regulations related to archaeological sites concerning historic preservation such as Section 106 of the National Historic Preservation Act and to assist avoidance of any burial sites potentially located within the subject area. Prior to any federal undertaking, all archaeological sites should be evaluated for their National Register eligibility. Federal undertakings include but are not limite to projects receiving any federal financial support, technical assistance, licenses, or permits received by private landowners or permits received by private landowners or federal, state, or local governments. The State Historical Preservation Officer (SHPO) would need to be contacted for details about the final determination of significance for any site to be affected by a federal undertaking. This letter is not meant to confirm or deny that any applicable requirements have been met.

Sincerely,

Colleen Eck
Site Records Manager
enclosure

FIGURE 11. RESULTS OF OSA SITE FILE SEARCH (LETTER)

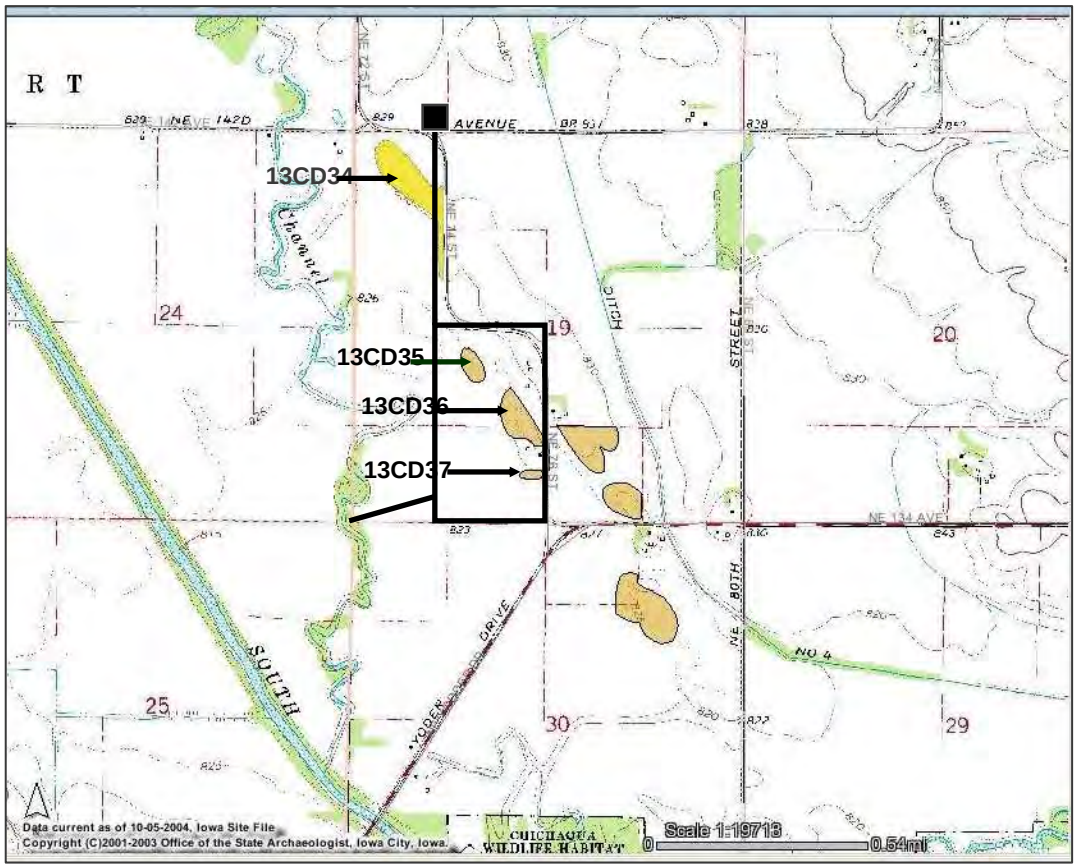


FIGURE 12. RESULTS OF OSA SITE FILE SEARCH (MAP)

Phase I Archaeological Survey
Of
The Zoar Consolidated Wastewater Project Site
(Sections 18 & 19, T83N-R11W)

OCT 2 1 2004

"PLOTTED"

Prepared for
The City of Zoar,
Zoar Wastewater Consortium
&
ACME Engineering, Inc.

By
Adele Cavalier
&
Dr. Danforth Haversham
(Principal Investigator)

Dept. Of Antiquities and Fine Arts
Georg Von Podebrad College
Old Main
Lovely Banks of the Cedar Ave.
Zoar, Iowa 55555

Project #: CDBG 05-WS-0001 /
SRF-05-0001

October 16, 2004

FIGURE 13. PHASE I ARCHAEOLOGICAL SURVEY REPORT

DNR & CDBG Recipient
Lead Federal Agency Designation for
36 CFR Part 800, Section 106 Compliance

CDBG Recipient: ___City of Zoar **CDBG Contract Number:___ 05-WS-0001**

SRF Recipient: ___City of Zoar **SRF Loan Number: ___SRF-05-0001**

Type of Project: ___Wastewater Treatment Location of Project: ___Zoar, Iowa

For projects jointly funded by the Iowa Department of Economic Development (IDED) through the Community Development Block Grant (CDBG) program and the Iowa Department of Natural Resources State Revolving Loan Fund Program, the (please check one):

☒CDBG Recipient ☐IDNR

will act as the lead federal agency in fulfilling the collective responsibilities under 36 CFR part 800, section 106 for the CDBG and IDNR Recipient listed above. All submittals to the State Historic Preservation Office (SHPO) will be made by the selected lead federal agency.

This is agreed to by the following parties:

IDNR Representative and Title (Lee Gabriel, P.E.) Date: Sept 27, 2004

CDBG Recipient Chief Elected Official and Title (Marvin Tripphammer, Mayor) Date: 9-28-04

IDED CDBG Program Manager (Newton Armbrewster) Date: 9/27/04

CDBG Grant Administrator (Farfel Mittelschmerz, FUNCOG) Date: Sept. 27 04

The signed form must be included as an attachment to the Lead Federal Agency's project documentation submittal to the Iowa State Historic Preservation Officer (SHPO).

FIGURE 14. LEAD FEDERAL AGENCY DESIGNATION FORM